

03-19-01 A

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 5455P001

First Inventor Thomas W. Mossberg

Title HOLOGRAPHIC SPECTRAL FILTER

Express Mail Label No. EL034438762US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 34]
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (*if filed*)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets 13]
5. Oath or Declaration [Total Pages 4]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 C.F.R. § 1.63(d)) (*for continuation/divisional with Box 18 completed*)
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
    - c.  Unsigned
6.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:  
Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
8. Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))
10.  37 C.F.R. § 3.73(b) Statement  Power of Attorney (*when there is an assignee*)
11.  English Translation Document (*if applicable*)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (*Should be specifically itemized*)
15.  Certified Copy of Priority Document(s) (*if foreign priority is claimed*)
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

 Continuation     Divisional     Continuation-in-part (CIP)    of prior application No: \_\_\_\_\_

Prior application Information: Examiner \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

For **CONTINUATION OR DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**18. CORRESPONDENCE ADDRESS** Customer Number of Bar Code LabelPATENT TRADEMARK OFFICE  
(Insert Customer No. or Attach bar code label here)or  Correspondence address below

|         |           |          |     |
|---------|-----------|----------|-----|
| Name    |           |          |     |
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| City    | State     | Zip Code |     |
| Country | Telephone |          | Fax |

|                   |                     |                                   |        |
|-------------------|---------------------|-----------------------------------|--------|
| Name (Print/Type) | Gregory D. Caldwell | Registration No. (Attorney/Agent) | 39,926 |
|-------------------|---------------------|-----------------------------------|--------|

|           |          |  |  |
|-----------|----------|--|--|
| Signature | 03/16/01 |  |  |
|-----------|----------|--|--|

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision

**TOTAL AMOUNT OF PAYMENT** (\$1,600.00)

Complete if Known

|                        |                    |
|------------------------|--------------------|
| Application No.        |                    |
| Filing Date            | March 16, 2001     |
| First Named Inventor   | Thomas W. Mossberg |
| Examiner Name          |                    |
| Group/Art Unit         |                    |
| Attorney Docket Number | 5455P001           |

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to credit any overpayments to:

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

Charge Any Additional Fee(s) Required Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

Applicant claims small entity status. See 37 CFR 1.27.

## 2. Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEE

#### Large Entity Small Entity

| Fee Code                          | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|-----------------------------------|----------|----------|----------|--|----------|
| 105                               | 130      | 205      | 65       | Surcharge - late filing fee or oath  |          |
| 127                               | 50       | 227      | 25       | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 139                               | 130      | 139      | 130      | Non-English specification  |          |
| 147                               | 2,520    | 147      | 2,520    | For filing a request for reexamination                                     |          |
| 112                               | 920*     | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                               | 1,840*   | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115                               | 110      | 215      | 55       | Extension for response within first month                                  |          |
| 116                               | 390      | 216      | 195      | Extension for response within second month                                 |          |
| 117                               | 890      | 217      | 445      | Extension for response within third month                                  |          |
| 118                               | 1,390    | 218      | 695      | Extension for response within fourth month                                 |          |
| 128                               | 1,890    | 228      | 945      | Extension for response within fifth month                                  |          |
| 119                               | 310      | 219      | 155      | Notice of Appeal   |          |
| 120                               | 310      | 220      | 155      | Filing a brief in support of an appeal                                     |          |
| 121                               | 270      | 221      | 135      | Request for oral hearing   |          |
| 138                               | 1,510    | 138      | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                               | 110      | 240      | 55       | Petition to revive - unavoidable   |          |
| 141                               | 1,240    | 241      | 620      | Petition to revive - unintentional   |          |
| 142                               | 1,240    | 242      | 620      | Utility issue fee (or reissue)   |          |
| 143                               | 440      | 243      | 220      | Design issue fee   |          |
| 144                               | 600      | 244      | 300      | Plant issue fee  |          |
| 122                               | 130      | 122      | 130      | Petitions to the Commissioner  |          |
| 123                               | 130      | 123      | 130      | Petitions related to provisional applications                              |          |
| 126                               | 180      | 126      | 180      | Submission of Information Disclosure Stmt                                  |          |
| 581                               | 40       | 581      | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                               | 710      | 246      | 355      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 149                               | 710      | 249      | 355      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 179                               | 710      | 279      | 355      | Request for Continued Examination (RCE)                                    |          |
| 169                               | 900      | 169      | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify)               |          |          |          |  |          |
| Other fee (specify)               |          |          |          |  |          |
| *Reduced by Basic Filing Fee Paid |          |          |          | SUBTOTAL (3)   | (\$)     |

## FEE CALCULATION

### 1. BASIC FILING FEE

#### Large Entity Small Entity

| Fee Code            | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid      |
|---------------------|----------|----------|----------|------------------------|---------------|
| 101                 | 710      | 201      | 355      | Utility filing fee     | <b>355.00</b> |
| 106                 | 320      | 206      | 160      | Design filing fee      |               |
| 107                 | 490      | 207      | 245      | Plant filing fee       |               |
| 108                 | 710      | 208      | 355      | Reissue filing fee     |               |
| 114                 | 150      | 214      | 75       | Provisional filing fee |               |
| <b>SUBTOTAL (1)</b> |          |          |          | <b>(\$)</b>            | <b>355.00</b> |

### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims  | Fee from below   | Fee Paid |
|--------------------|---------------|------------------|----------|
| Independent Claims | 105 - 20 = 85 | X 9.00 = 765.00  |          |
| Multiple Dependent | .15 - 3 = 12  | X 40.00 = 480.00 |          |
|                    |               | =                |          |

\*or number previously paid, if greater. For Reissues, see below

#### Large Entity Small Entity

| Fee Code            | Fee (\$) | Fee Code | Fee (\$) | Fee Description   |
|---------------------|----------|----------|----------|---|
| 103                 | 18       | 203      | 9        | Claims in excess of 20                                    |
| 102                 | 80       | 202      | 40       | Independent claims in excess of 3                         |
| 104                 | 130      | 204      | 135      | Multiple Dependent claim, if not paid                     |
| 109                 | 80       | 209      | 40       | **Reissue independent claims over original patent         |
| 110                 | 18       | 210      | 9        | **Reissue claims in excess of 20 and over original patent |
| <b>SUBTOTAL (2)</b> |          |          |          | <b>(\$)</b> 1,245.00                                      |

Complete (if applicable)

|                   |                     |                                   |        |           |                |
|-------------------|---------------------|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Gregory D. Caldwell | Registration No. (Attorney/Agent) | 39,926 | Telephone | (503) 684-6200 |
| Signature         |                     |                                   | Date   | 03/16/01  |                |

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**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

|                        |                             |
|------------------------|-----------------------------|
| First Named Inventor   | Thomas W. Mossberg          |
| Title                  | HOLOGRAPHIC SPECTRAL FILTER |
| Attorney Docket Number | 5455P001                    |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

03/16/01

Date



Signature

Gregory D. Caldwell, Reg. No. 39,926

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 112(b)(B)(iii)).**